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ABSTRACT

Information on possible sources of funds and skills that are needed for obtaining grants from private foundations and corporations is presented to aid college administrators and faculty members. Attention is directed to private sector grants to higher education, grantsmanship within the institutions, grantsmanship as faculty development, initiating the grants process, and grantsmanship resources. It is shown that private sector support is diverse and has been targeted to almost every conceivable aspect of higher education. However, the funding sources often are interested in innovation and new programs, while colleges and universities are increasingly concerned with obtaining funding that will avoid significant cuts in existing programs. It is suggested that the skillful combination of both the art and knowledge base aspects of grantsmanship will increase the likelihood that grant proposals will be successful. While the responsibility for such activities usually resides with an institutions' grants office and its relationship with both faculty and administrators, the college president may seek to build an incentive system to encourage staff participation in the grants process and to explain institutional priorities. Workshops for faculty and staff can help improve their grantsmanship as well as assist them in locating information about funding sources and opportunities. It is important to find funding sources that fit a proposal in terms of activity, geographic orientation, types of support, grant range, and target population. Resources representing both bibliographic and referral sources that may be useful in developing or improving grantsmanship skills are listed under the following categories: general references, higher education references, periodicals, practical guides, organizations, and computerized databases. A bibliography is also presented. (SW)

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RESOURCES ON PRIVATE SECTOR GRANTSMANSHIP

Lynn Barnett and James P. Honan

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Resources on private sector grantsmanship

Lynn Barnett and James P. Honan

Inflation, changing student populations, and career expectations are only three of the many factors pressing higher education institutions to review and restructure their offerings. But program changes take time and money, two scarce commodities on campuses today. For many colleges, one approach to these problems is an intensified search for grants (Mohrman 1979).

Recent unfavorable economic trends, including decreased federal and state funding for higher education, have caused colleges and universities to more actively seek financial support from nongovernment sources such as private foundations and corporations. As a result, many administrators and faculty members find themselves needing both knowledge of potential funding sources and skills for grant-getting. This *Research Currents* will examine several aspects of grantsmanship: private sector grants to higher education, grantsmanship within the institution, grantsmanship as faculty development, initiating the grants process, and grantsmanship resources.

Private sector grants to higher education

Annual grant support to academe from private foundations, corporations, organizations, and individuals amounts to nearly $40 billion (*Annual Register of Grant Support* 1980, p. ix). However, like colleges and universities, private and corporate foundations have been affected by broader economic factors. The high rate of inflation, coupled with the declining real value of foundation incomes, has resulted in increased competition among grant-seekers (Cheit and Lobman 1979; see also Magarrell 1980; Decker and Decker 1978). College and university administrators and faculty members must keep in mind these problems as they make decisions concerning grant applications.

An examination of private and corporate foundation giving patterns reveals two major characteristics. On the positive side, private sector support for higher education reflects diverse interests: "The dominant characteristic of foundation grants to higher education is the wide range of interests they reflect. Almost every conceivable aspect of higher education receives attention in grantmaking" (Cheit and Lobman 1979, p. 71). However, despite this optimistic aspect of grant-seeking, there exists a significant, possibly negative, conceptual barrier. "Grants for higher education purposes often have no visible effect until long after they are made, if at all. Thus, they are harder to defend" (Cheit and Lobman 1979, p. 6).

In addition, perspectives of foundation officials are sometimes quite different from those of college and university personnel. A paradoxical situation appears to exist:

> As the serious effects of changing conditions in higher education are felt on campus, it is inevitable that college officials, concerned more with the survival of their existing programs, become critical of foundations that seem still to be committed to innovation and to adding new programs. Steady-state administrators are not looking primarily for seed money, even though some of their faculty members might be; rather, they are likely to seek funding that will avoid painful cuts in existing programs (Cheit and Lobman 1979, p. 76).

Differences between change-oriented funding sources and stability-oriented colleges and universities may be a significant factor in the grants process.

Grantsmanship within the institution

Grantsmanship has been defined as "an organized way of seeking funds from an external source to support a desired activity" (Decker and Decker 1978, p. 5) and has been characterized as both an art and a knowledge base. The skillful combination of both the art and knowledge base aspects of grantsmanship will increase the likelihood that grant proposals will be successful.

In most cases, the responsibility for such activities rests with an institution's grants office and its relationship with both faculty and administrators. For example, a grants office can enhance its effectiveness by establishing and maintaining a close working relationship with its institution's president. The president's support for the grants office's activities and his or her perception of its role can serve to ensure success, "especially when the efforts are coupled with a shared commitment to the institutional mission" (Gollattscheck and Hollingsworth 1979, p. 88). Two major areas of presidential involvement in grants activities are: (1) working with faculty and staff to explain "institutional priorities, the importance of scrutinizing agency guidelines, and the necessity of matching the intended program's purposes with those of the funding source" and (2) "building an incentive system to encourage faculty and staff participation in the grants process" (p. 90). Both types of presidential involvement aim to improve the quality of proposals and program ideas as well as increase the likelihood that project proposals will be funded.

Another important function of the grants office is communication with faculty regarding the grants process (Frayer 1979; Nordvall 1979). Grants office personnel can do this in several ways: attending departmental meetings, sending information via memo, publishing information in a newsletter, speaking at faculty meetings, and organizing inservice workshops (Frayer 1979, p. 51).

Morgan (1979) views grantsmanship as an integral part of an institution's faculty development process: "One of the key functions of the grants effort is to facilitate the professional growth of faculty members as a part of a comprehensive faculty development program" (p. 59). He argues that all colleges and universities should have at least one part-time person to coordinate faculty development aspects of grantsmanship.

Grantsmanship as faculty development

Workshops for faculty and staff can serve to improve their grantsmanship as well as help them locate pertinent information about funding sources and opportunities.

During the past few years, several institution-initiated projects aimed at improving the grantsmanship skills of faculty and staff have emerged. The Urban Resources Center at Texas Southern

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University has developed a guide to grant proposal preparation (see Brown 1976). The manual is designed to help faculty and staff members in the preparation of preliminary applications and full proposals for funds to conduct research, seminars, and related activities. An Ohio State University project sponsored by the National Institute of Education entitled "Seminar-Workshop on Writing for Funding and Publication" (see Nelson 1981) is an example of a training workshop designed to improve the ability of faculty members to prepare grant proposals. Similarly, the College of Charleston offers inservice workshops for faculty on the grants process as part of its program for faculty research and development (see Morgan 1979, pp. 65-67). Alvir (1976) has devised a research exercise that can be used to "conduct a proposal writing workshop centered around the development and writing of acceptable goals, objectives, evaluation, and activities of the project proposal" (p. 4). These institution-initiated projects underscore the increasingly competitive nature of the grants process and the need for improving grantsmanship skills.

Initiating the grants process

Once an institution acknowledges the need for incorporating grantsmanship into the faculty development process and begins preparing for grant-getting, it must address several key questions identified by Teague (1980, pp. 8-10): What projects are needed? Does the institution have the capability for conducting the project? Is the idea supported by significant people? Is the proposed project feasible? If the answer to all these is "yes," the next step is to be prepared by having a "well-conceived, well-documented, hard proposal and know[ing] as much as possible about the foundation [or corporation] being approached" (Mayer 1972). This preparation is even more crucial if an institution realizes that "as many as 80 percent of all applications to private foundations are inappropriate or misdirected" (*Annual Register of Grant Support* 1980, p. ix).

Mayer notes that large foundations tend to want proposals with national impact or transferability; smaller or local organizations look favorably on "exciting projects" or proposals that are applicable to a specific locale. It is especially important to find funding sources that fit a proposal in terms of activity, geographic orientation, types of support (general operating costs, seed projects, equipment, etc.), grant range, and target population (Abarbanel 1978). To do so requires a thorough knowledge of potential sources. The following resources, representing both bibliographic and referral sources, may be useful in developing or improving grantsmanship skills.

Grantsmanship resources

GENERAL REFERENCES

Annual Register of Grant Support, 1979-80. 13th ed. Chicago: Marquis Academic Media, 1980. ($57.50). Provides detailed information on grant support programs of government agencies, public and private foundations, corporations, community trusts, unions, educational and professional associations, and special-interest organizations. Includes eligibility information. Cataloged by fields of interest.

The CFAE Casebook: A Cross-Section of Corporate Aid-to-Education Programs. New York: Council for Financial Aid to Education, 1980. ($17). Contains 198 summaries of 1979 corporate-funded education programs. Includes alphabetical listings giving purpose and policies, dollar amount of grants, and giving categories.

Corporate Foundation Profiles. New York: The Foundation Center, 1980. ($15). Contains three- to six-page detailed analyses of more than 200 of the largest company-sponsored foundations with full subject, support type, and geographic indexes. Includes brief financial data for more than 300 smaller corporate foundations.

Directory of Research Grants 1980. Phoenix, Ariz.: Oryx Press, 1980. ($39.50 plus $1.50 postage/handling). Provides information on how, when, and where to secure grants and contracts. Contains brief descriptions of more than 2,000 programs, arranged by 90 separate subject areas. Includes those sponsored by federal agencies, private foundations, corporations, professional organizations, and some state and foreign governments.

The Foundation Center National Data Book. New York: The Foundation Center, 1980. (two volumes, published annually in December, $45). Source for smaller foundations. Includes information on the more than 22,000 nonprofit organizations classified as private U.S. foundations. Provides a brief profile of each, culled primarily from Internal Revenue Service returns. Indexed alphabetically and by state; no subject index.

Foundation Center Source Book Profiles. New York: The Foundation Center, 1981. (looseleaf subscription service, $200 annually). Analytical profiles of the 1,000 largest foundations (including 150 company-sponsored and 25 community foundations) that do not restrict funds programmatically. Includes list of sample grants. Subscription includes *Foundation Profile Updates*, a bimonthly news service that highlights changes and gives new cumulated indexes. Free sample profile available.

The Foundation Directory. 8th ed. Irvington, N.Y.: Columbia University Press, 1981. ($45 plus $1.50 postage/handling). Complete listing of foundations. Includes fully updated information on the 3,138 largest U.S. foundations, all with assets of more than $1 million or awarding grants in excess of $100,000 annually. Supplies current financial data and program descriptions necessary to identify foundations most likely to respond to particular proposals. Indexed by name, state and city, personnel, and fields of interest.

The Foundation Grants Index. New York: The Foundation Center, 1980. (annual, approx. 500 pages, $27). Reviews patterns of giving for about 500 foundations. Lists grants of $5,000 or more awarded to nonprofit organizations during preceding year. Includes recipient name and geographic location, amount and date of grant, and grant purpose. Helpful because foundations do not publish current lists of available funds. Indexed by recipient and subject.

Foundation Grants to Individuals. 3rd ed. New York: The Foundation Center, 1981. ($15). Lists more than 1,000 foundations, giving full descriptions of programs available only to individuals (students, artists, scholars, writers, scientists, etc.). Contains information on foundation sources for scholarships, fellowships, internships, medical and emergency assistance, residencies, and travel grants. Arranged by broad program areas; subject indexed.

Grant Information System. Phoenix, Ariz.: Oryx Press, 1981. ($500 annually). Subscription reference of funding available from 2,000 public and private sources. Monthly inserts called Faculty Alert Bulletins. Approximately 50 subject areas. Updated quarterly; indexed.

Sternberg, Sam. *The National Directory of Corporate Charity—California Edition.* San Francisco, Calif.: Regional Young Adult Project, 1980. ($30). Comprehensive directory of non-foundation corporation contributions (representing 85 percent of total corporate giving). Provides 620 profiles describing national giving programs of the largest U.S. companies now donating to California nonprofit organizations. Indexed by cities; cross-indexed into 32 program categories.

Directory of Corporate Philanthropy. San Francisco: Public management Institute, 1980. ($125).

Russell, Henry G. ed. *Foundation Annual Reports, What They Are and How to Use Them.* New York: The Foundation Center, 1976. ED 129 335.

The Survey of Voluntary Support of Education, 1979-80. New York: Council for Financial Aid to Education, 1980. ($14).

Turner, Roland, ed. *The Grants Register.* New York: St. Martin's Press, 1981. ($32.50).

Williams, M. Jane. *Foundation Primer.* Ambler, Pa: Fund-Raising Institute, 1981. ($30).

HIGHER EDUCATION REFERENCES

The Complete Grants Sourcebook for Higher Education. Washington, D.C.: American Council on Education, 1981. ($79.50). Guide designed especially for colleges and universities. Contains two parts: step-by-step approach that gives practical techniques for grant-getting for institutions or individual projects and a directory of funding sources, with more than 500 detailed entries for federal, foundation, and corporate programs of support. Includes numerous illustrations, sample forms, and checklists.

Mohrman, Kathryn, ed. *Grants: Views from the Campus.* Washington, D.C.: Association of American Colleges, 1979. ($10) ED 201 239. Presents practical advice from 13 experienced grants-getters from public and private institutions, from community colleges to research universities. Sections on: characteristics of effective grants officers; grants offices; working with academic deans, development offices, university foundations; management of external funding; faculty role; faculty development grants; special concerns of two-year, four-year, and comprehensive colleges and universities; and president's role.

PERIODICALS

Chronicle of Higher Education. (Weekly, $37). 1333 New Hampshire Ave. NW, Washington, D.C. 20036. Reports foundation and federal grant opportunities as well as news of general higher education issues.

Grants Magazine: The Journal of Sponsored Research and Other Programs. (Quarterly, $27 individual, $54 institutional). Plenum Publishing Corporation, 227 W. 17th St., New York, N.Y. 10011. Interdisciplinary forum for issues affecting public and private philanthrophy. Includes section called "Grants Clinic," which examines successful grant proposals.

Foundation News: The Journal of Philanthropy. (Bimonthly, $24). Council on Foundations, Inc., 1828 L St. NW, Washington, D.C. 20036. Aims to increase public understanding of the role of philanthropy. Provides forum for communication between organizations and individuals in the field.

The Grantsmanship Center News. (Bimonthly, $20). The Grantsmanship Center, 1031 Grand Ave., Los Angeles, Calif. 90015. Source for "how-to" information on federal and foundation funding. Contains feature articles, "funding notes" and "deadlines" columns, book reviews.

PRACTICAL GUIDES

Decker, Virginia A. and Decker, Larry E. *The Funding Process: Grantsmanship and Proposal Development.* Charlottesville, Va.: Community Collaborators, 1978. ED 155 785. Outlines each phase of grantsmanship process: idea development, funding source identification, proposal writing and submission, review procedure, grant administration. Appended: locations of information centers.

Freeman, David F. *The Handbook on Private Foundations.* Washington, D.C.: Council on Foundations, 1981. ($22.95). A "how-to" guide from the foundation viewpoint. Discusses grant-making philosophy, handling and evaluating grant requests, processing applications, and IRS codes and regulations.

Grantsmanship: Money and How to Get It. 2nd ed. Chicago: Marquis Academic Media, 1978. Suggests how to define goals, locate donors, prepare proposals, and report results.

Hillman, Howard. *The Art of Winning Corporate Grants.* New York: Vanguard Press, 1980. ($8.95). Advises how to research corporate programs, approach corporations, write proposals.

Kurzig, Carol. *Foundation Fundamentals: A Guide to Grantseekers.* New York: The Foundation Center, 1980. ($4.95). ED 198 782. Describes how to identify funding sources by subject area or geographic origin. Provides proposal checklists and worksheets. Extensive bibliography.

Lawe, Theodore M. *How to Secure and Manage Foundation and Federal Funds in the 1980's.* Dallas: MRDC Educational Institute, 1980. Views the grant management responsibility as an extension of fund raising and offers advice on success strategies. Covers program organization, fiscal controls, monitoring, reporting, etc.

Teague, Gerald V., and Heathington, Betty S. *The Process of Grant Proposal Development.* Bloomington, Indiana: Phi Delta Kappa Educational Foundation, 1980. ED 187 035. Step-by-step guide to developing a grant application for educational project funding. Reviews grant terminology, funding sources, proposal development, review process, agency contacts, etc.

Allen, Herb., ed. *The Bread Game—The Realities of Foundation Fundraising.* Revised-Expanded Edition. San Francisco, Calif.: Regional Young Adult Project, 1981. ($9.95).

Daniels, Craig E. *A Budget Primer and Worksheets for Proposal Writers.* Washington, D.C.: Association of American Colleges, September 1979. ED 201 241.

Dempsey, June, and Lowery-Moore, Hollis. "How to Plan and Draft Federal and Private Funding Requests." Paper presented at the Annual Conference of the Western College Reading Association, March 27-28, 1980, in San Francisco. ED 196 362.

Krathwohl, David R. *How to Prepare a Research Proposal.* 2nd ed. Syracuse, N.Y.: Syracuse University, 1977. ($2.95)

Program Planning and Proposal Writing. Los Angeles: The Grantsmanship Center, 1981. ($2.75).

"Proposal Development Handbook." Washington, D.C.: American Association of State Colleges and Universities, 1975. (50¢).

Smith, Craig W., and Skjei, Eric W. *Getting Grants.* New York: Harper Colophon Books, 1981. ($4.95).

White, Virginia P. *Grants: How to Find Out About Them and What to Do Next.* New York: Plenum Press, 1975. ($19.50).

ORGANIZATIONS

Council for Advancement and Support of Education, 11 Dupont Circle, Suite 400, Washington, D.C. 20036. Institutional membership organization that helps members increase their professionalism and serves as principal public affairs arm for education. Among areas of interest: fund raising and advancement programs. Sponsors conferences, workshops, and institutes for members.

Council for Financial Aid to Education, 680 Fifth Ave., New York, N.Y. 10019. Encourages increased voluntary support of higher education, especially by business, through advertising campaigns, consultation services, research on educational philanthropy, and information dissemination.

Council on Foundations, 1828 L St. NW, Washington, D.C. 20036. Serves as the membership organization of some 800 U.S. foundations. Library facilities open to public.

The Foundation Center. Home offices: 888 Seventh Avenue, New York, N.Y. 10106 and 1001 Connecticut Avenue, Suite 938, Washington D.C. 20036. Field offices: 312 Sutter Street, San Francisco, Calif. 94108 and 739 National City Bank Building, 629 Euclid Ave., Cleveland, Ohio 44114. Toll free telephone number: 800-424-9836. National service organization founded and supported by foundations. Collects, analyzes, and disseminates information on philanthropic foundations. Services and resources include publications, libraries, computer databases, and Associates Program ($200 annual fee) for specialized services.

Libraries, free and open to the public, include: New York and

Washington, D.C., home offices with national collections; San Francisco and Cleveland field offices that specialize in foundations in their respective 11-state areas as well as information on national and regional foundations; and regional collections in more than 60 public, foundation, and university libraries across the United States that generally focus on foundations within their states.

Publications: major directories, low-cost bibliographies and guides, and free fact sheets.

The Grantsmanship Center, 1031 Grand Ave., Los Angeles, Calif. 90015. Independent, nonprofit educational institution devoted to process of funding. Extensive, fully staffed library open to public. Conducts on-site week-long training workshops, focusing on program planning, translating goals into funding proposals, and locating and approaching funding sources. Publishes *Granstmanship Center News*. Publication list available.

COMPUTERIZED DATABASES

ERIC. Contains literature on all aspects of education; computerized database corresponds to monthly publications, *Resources in Education (RIE)* and *Current Index to Journals in Education (CIJE)*. Nearly 500,000 references, monthly updates. Useful for identifying literature on grantsmanship and preparing literature review section of grant proposals.

Accessible through Lockheed/DIALOG Information Retrieval Service (File 1), System Development Corporation (SDC), and Bibliographic Retrieval Service (BRS). Nonjournal documents available in microfiche collections in over 700 libraries.

Foundation Grants Index. Computerized collection of Foundation Center publications. Contains references to about 500 U.S. philanthropic foundations that award grants of $5,000 or more to nonprofit organizations. No references to government grants or awards to individuals. Approximately 80,000 records in database; bimonthly updates.

Accessible via the Foundation Center or through the Lockheed/DIALOG Information Retrieval Service (File 27). Prepared computer searches available by subject, geographic area, or foundation type/size through The Foundation Center as COMSEARCH Printouts (microfiche and paper copy).

Grants Database. Contains summaries of governmental, commercial, association, and foundation grant programs. Includes academic disciplines for which grants are available; includes grants less than $5,000. Approximately 2,000 records in database; monthly updates. Accessible through Lockheed/DIALOG Information Retrieval Service (File 85).

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